

MARC Record Guide for Monograph Aggregator Vendors

**Prepared by the Program for Cooperative Cataloging
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1. Introduction

1.1 Audience

The primary audience for this guide is the community of publishers and vendors who make aggregations of monograph records available to libraries. The audience consists of consultants and librarians who share with vendors the common goal of producing MARC record sets for a set of items that have something in common—such as all items in a particular database, sets of books published as a group, etc.

1.2 Purpose

Librarians consider several factors when deciding to purchase a database. The most important consideration is the quality and relevance of the content for library users. The second factor librarians consider is how their users will actually use the database. They realize that user discovery is enhanced by accurate metadata descriptions for the individual monographs/books in a database. To enhance user discovery, many libraries choose to load MARC records into their local online catalogs. Vendors can add substantial value to the databases they sell by providing accurately composed metadata for the individual titles in the databases.

Ideally the metadata records should be created in MARC 21 format. Short of that, they should be created in a format that is easily convertible to MARC so that the records can be loaded into library catalogs. Most libraries endorse the “one stop shopping” for students and faculty that results when 1) all records reside in a single catalog and 2) all records display bibliographic information consistently. Another important consideration is interoperability--records should be created in such a way that they can be readily exchanged between libraries and bibliographic utilities if the license permits.

1.3. Scope

This guide includes references to resources that a vendor may wish to consult prior to undertaking a MARC record creation project. It does not attempt to

provide detailed implementation guidelines for commercial ventures. It also contains specifications for MARC records as recommended by the Program for Cooperative Cataloging (PCC). The PCC is an international cooperative program sponsored by the Library of Congress aimed at expanding access to library collections by providing standards for useful, timely, and cost-effective cataloging.

It is highly recommended that vendors first become familiar with the general guiding principles and best practices set forth by the Library of Congress, the Digital Library Federation (DLF) and the National Science Digital Library (NSDL):

<http://www.loc.gov/standards/mods/>
<http://oai-best.comm.nsdlib.org/cgi-bin/wiki.pl?PublicTOC>
http://www.diglib.org/aquifer/DLF_MODS_ImpGuidelines_ver4.pdf

For more basic knowledge about MARC records, the Library of Congress has also prepared an excellent guide to MARC bibliographic records:

<http://www.loc.gov/marc/umb/um01to06.html>

2. Record Categories for E-books

The vendor should begin by determining which source for the description of an e-book will be used. Possible sources to describe an e-book include: a “**born digital**”, a new **edition** of a print publication, or a **reproduction**.

2.1 Born Digital

An e-book is born digital if it has not existed previously in print or any other format.

2.2 New Edition of a Print Publication

An e-book is a new edition of a print publication if content has its basis in print but the vendor has substantially altered it by addition, change, or subtraction of content. For example, an electronic edition of *Gone with the Wind* that includes film clips and other value added features and new commentary is a new edition.

2.3 Reproduction

An e-book is a reproduction if content was transformed from another format of the print publication by a mechanical process (not an intellectual process). The format and content of the original version are preserved. Examples of electronic reproductions are PDF files and scanned page images.

3. How are MARC Records Created?

Unfortunately, there is no one single way to create a MARC record for a book. The method used will depend on the skills of the vendor's staff and whether or not a library partner is involved in the process. The main thing is to be sure that the metadata is consistent, accurate, well-formed, and follows standard library practice as far as possible. The display of an author's name, for example, must follow the pattern of "Last Name, First Name" or names will not even begin to collocate properly in a library catalog.

3.1 Records Created Directly in MARC 21 Format

The vendor may have the ability to create MARC records directly in MARC 21 format either by using a library cataloging system, through arrangement with a partner library (or third party subcontractor) or a bibliographic utility. For further information on how to format such records, see section 4 below.

3.2 Records Created Using Dublin Core

Dublin Core (DC) is a simple effective element set that is highly compatible with MARC 21. The Program for Cooperative Cataloging endorses DC for use by vendors for monographic material if it is not possible to work directly in MARC 21. A good introductory article may be found in the article, "From Cataloging to Metadata: Dublin Core Records for the Library Catalog," by Anita Coleman, in *Cataloging & Classification Quarterly*, vol. 40, no.3 / 4.

http://www.haworthpress.com/store/E-Text/View_EText.asp?sid=DGF89H49EV9L8NVA3A9KR5K2UNX6C2W2&a=3&s=J104&v=40&i=3%2F4&fn=J104v40n03%5F08

The Library of Congress has developed extensive documentation describing the crosswalk from Dublin Core to MARC 21.

<http://www.loc.gov/marc/dccross.html>

3.3 Records Created Using MODS, XML, HTML, EXCEL, ETC.

As long as metadata is coded consistently in tab-delimited files, vendors may use in-house programming (or ask a library partner for assistance) to create MARC records from metadata. Many library systems offices can convert properly constructed Excel spreadsheets into MARC records. Columbia University, for example, uses PERL and MARC-related PERL modules to generate MARC records from user input. The Program for Cooperative Cataloging can be consulted on use of this and other freely available programs developed by libraries.

4. MARC Data Specifications

For reference the MARC Standards website should be consulted.

<http://www.loc.gov/marc/>

4.1 MARC Data Elements for Born Digital or Electronic Editions

***M=Mandatory A=Mandatory if Applicable O = Optional**

| Field | Name | Value | M/A/O* | Vendor Action |
|------------------|-------------------------------------|-------|--------|-------------------------|
| Leader O6 | Type of record | a | | M |
| Leader O7 | Bibliographic level | m | | M |
| Leader 17 | Encoding level | 3 | | M |
| Leader 18 | Descriptive cataloging form | u | | M |
| 001 | Control number | M | | Assign alpha/numeric CN |
| 003 | Control number identifier | O | | Add if obtained from LC |
| 006 | Additional material characteristics | | | Use fill characters |

| | | |
|-----------------|--------------------------------------------------------|-------------------------------------|
| for other bytes | | |
| Byte 00 | m | M |
| Byte 09 | d | M |
| 007 | Physical description fixed field (electronic resource) | Use fill characters for other bytes |
| Byte 00 | c | M |
| Byte 01 | r | M |
| Byte 04 | n | M |

| | | |
|----------------------------------|---------------------------|----------------------------------------------------------------------------------------------|
| 008 | Fixed field data elements | Retain from copy except for bytes 23,39. If original use fill character except for below. |
| Byte O6 | s | M |
| Bytes O7-10 | M | Do not retain from copy |
| Bytes 15-17 Place of publication | M | Retain from copy or use MARC code list for countries |
| Byte 23 | s | M Do not retain from copy |
| Bytes 35-37 language | M | Retain from copy or use MARC code list for languages |
| Byte 39 Cataloging source | d | M |

| | | | |
|--------------|----------------------------------|---|------------------------------------------------------------------------|
| 0XX | OXX fields | | Do not retain from copy unless listed below |
| 020 | ISBN | A | Add if e-ISBN |
| 040 | Cataloging source | O | Add code if obtained from LC |
| 041 | Language code | O | Retain from copy |
| 043 | Geographic area code | O | Retain from copy |
| 050 4 | Library of Congress class number | O | Retain from copy or supply if possible |
| 1XX | Personal or corporate author | A | Retain from copy or supply. NAF check desirable for supplied headings. |

| | | | | |
|----------------------|--------------------------------------|---------------------------------|---|---------------------------------------------------------------------------------|
| 240 | Uniform title | | O | Retain from copy |
| 245 \$a, etc. | Title | | M | Retain from copy or supply |
| 245 \$h | Medium | [electronic resource] | M | Follows \$a (See placement rules in appendix c) |
| 246 30 | Varying form of title | | A | Retain from copy; supply if important for access |
| 250 | Edition statement | | O | Do not retain from copy |
| 260 | Publication/distribution | | O | LC access record does not require; desirable |
| 300 | Physical description \$a | | O | Do not retain from copy; do not supply |
| 4XX | Series | | O | Retain from copy or supply using 440. NAF check desirable for supplied headings |
| 5XX | Notes | | M | Retain from copy except as below |
| 538 | System details note | Mode of access: World Wide Web. | O | Mandatory if available other than on WWW |
| 506 | Restrictions on access note | | A | |
| 530 | Additional physical format available | Also available in print. | O | Do not retain from copy & add if using copy |

| | | | |
|--------------|------------------------------|------------------------------------|--------------------------------------------------------------------------------------|
| 534 | Original version note | A | Use when the intent is to provide a satisfactory substitute for the original version |
| 540 | Terms governing use | | O |
| 550 | Issuing body note | Digitized and made available by... | O |
| 6XX | Subject headings or keywords | A | Retain from copy; prefer LCSH; keywords in 653 if LCSH not possible |
| 655 0 | Genre/form term | Electronic books | O |

| | | | |
|------------|------------------------------|---|-------------------------------------------------------------------------------|
| 7XX | Other added entries | O | Retain from copy or supply. NAF check desirable for supplied headings |
| 8XX | Series | 0 | Retain from copy |
| 856 | Electronic location & access | M | Delete from copy; add vendor url as 856 40; record access restrictions in \$z |

4.2 MARC Data Elements for Records for a Reproductions, Created from MARC Bibliographic Records for the Original

The following fields should be taken/copied from a “source” MARC record for the print, microform, or the CD-ROM version of the title:

leader*, 003, 008*, 010*, 013, 015, 016, 017, 018, 020, 024, 025, 026, 027, 028, 030, 032, 033, 035, 040*, 041, 043, 044, 045, 046, 050*, 052, 055, 060, 066, 070, 072, 074, 080, 082, 084, 086, 088, 100, 110, 111, 240, 245*, 246, 250, 260, 300, 440, 490, 500, 501, 502, 504, 505, 513, 520, 521, 522, 526, 536, 546, 585, 586, 600, 610, 611, 630, 650, 651, 700, 710, 711, 730, 740, 800, 810, 811, 830.

Fields not listed here or in the subsequent chart, “Fields for Vendor Additions or Modifications,” should not be taken/copied from the source record.

Fields for Vendor Additions or Modifications

*Tags with an asterisk are also included in the table below.

| Field | Name | Value | M/A/O* | Vendor Action |
|------------------|--------------------------------------------------------|-------|--------|-------------------------------------|
| Leader O6 | Type of record | | As is | M |
| Leader O7 | Bibliographic level | | As is | M |
| Leader 17 | Encoding level | | 3 | M |
| Leader 18 | Descriptive cataloging form | | As is | M |
| 001 | Control number | | M | Assign alpha/numeric CN |
| 006 | Additional material characteristics | | | Use fill characters for other bytes |
| Byte 00 | m | | M | Supply |
| Byte 09 | d | | M | Supply |
| 007 | Physical description fixed field (electronic resource) | | | Use fill characters for other bytes |

| | | | |
|---------|---|---|--------|
| Byte 00 | c | M | Supply |
| Byte 01 | r | M | Supply |
| Byte 04 | n | M | Supply |

10

| | | | |
|---------------------------|------------------------------------------------------------|---|----------------------------------------------------------------------------------------------|
| 008 | Fixed length data elements: retain data except for Byte 23 | | Retain from copy except for bytes 23,39. If original use fill character except for below. |
| Byte 23 | s | M | Do not retain from copy |
| Byte 39 Cataloging source | d | | M |
| 020 | ISBN (source) | A | Move to 776 \$z |
| ISBN (e) | A | | Add if e-ISBN |
| 040 | Cataloging source | O | Add code if obtained from LC |
| 050 4 | Library of Congress class number | O | Retain from copy or supply if possible |

| | | | | |
|------------------------------------|--------------------------------------|---------------------------------------------|---------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------|
| 245 \$h | Medium | [electronic resource] | M | Follows \$a (or \$n or \$p if they exist); remove pre-existing \$h if it refers to another format |
| 530 | Additional physical format available | Also issued in print. | O | Add source format(s) here |
| 533 \$a | Type of reproduction | Electronic reproduction | M | Supply |
| 533 \$b | Place of reproduction | | M | |
| 533 \$c | Agency responsible for reproduction | | | A |
| 533 \$d | Date of reproduction | | | A |
| 533 \$f | Series statement of reproduction | | | A |
| 533 \$n | Note about reproduction | | | O |
| 655 0 | Genre/form term | | | O |
| 776 \$c (or \$a and/or \$t) | Additional physical form entry | \$a [Author] \$c Original \$t [title] | | A |
| 776 \$z | ISBN of original | | | O |
| 776 \$w | Control number of original record | | O | |
| 856 | Electronic location & access | M | Delete non-applicable URLs from copy; add vendor URL as 856 40; record access restrictions in \$z | |

5. Tips for Vendors

- In leader byte 17, use encoding level “3”. This value makes it clear to customers that the records are not full catalog records. The encoding level could also be used by customers to identify records for in-house upgrade.
- Use leader byte 18, use value “u” (descriptive catalog form unknown) unless it is known that AACR (*Anglo-American Cataloguing Rules*) has been used (in which case, use value “a”).
- Information about access restrictions may be recorded either in a 506 field or in field 856, subfield “z” access restrictions (variations exist in library practices and public catalog displays).

- Your U.S. library customers will deeply appreciate MARC records that have headings (such as author's names or subject terms) in a form that corresponds with the forms "established" by the Library of Congress. This will make the headings on your records consistent with the headings on records for other titles that a library may already have in its catalog. Consider searching the Library of Congress Authorities (<http://authorities.loc.gov/>) for established headings. Alternatively, have your records processed by an authority control vendor such as Library Technologies, Inc. (<http://www.authoritycontrol.com/>).
- Your aggregation should be identified in an appropriate field on each record. For example, consider putting the established form of your firm's name in a 710 field (Added Entry—Corporate Name), and a consistent form of the aggregation name in field 830 (Series Added Entry—Uniform Title). A PCC member library could establish the heading for your firm in Library of Congress Authorities if it is not already present.
- Include provision for a unique record identifier for each record. This will make it easier for your library customers to load, update, or, if necessary, remove your records from their catalogs. Use an 001 field (if from the unique number of that record in your own system) or a "9XX" (locally defined) field for this purpose.
- Use tools such as *Classification Web* to provide a class ("call") number. Access to *Classification Web* can be leased from the Library of Congress Catalog Distribution Service for a specified amount of time; see <http://www.loc.gov/cds/classweb/>.
- In order to obtain records that can be modified to describe the titles in your aggregation, consider harvesting records from the Library of Congress catalog using either Z39.50 protocol, or arrange to purchase records from the Library of Congress Cataloging Distribution Service (<http://www.loc.gov/cds/index.html>).

6. Template

The following template can be used to create new MARC at three levels of completeness: basic, more complete, and most complete. Elements required for a basic record are shown in black. Elements required for a more complete record are shown in blue. Elements required for a recordd qualifying as "most complete" are shown in green.

The template is only a rough guide to MARC record creation. For additional necessary information, see MARC21 Concise Format for Bibliographic Data, <http://www.loc.gov/marc/bibliographic/ecbdhome.html>.

MARC Leader #####nam 22#####3i 45e0
 001 control number
 006 m d
 007 cr n
 008 050222s2005 xxu s 000 0 eng d
 040 <vendor NUC code> \$c <vendor NUC code>
 050 4 <Library of Congress classification number>
 060 4 <National Library of Medicine classification number>
 082 04 <Dewey Decimal classification number>
 100 1 <Last name, First name>.
 240 10 <Uniform title (if applicable)> .
 245 10 <Main title> \$h[electronic resource] : \$b <subtitle> / \$c <author's name (in direct order)> .
 250 <Edition statement (if applicable)> .
 260 <Place of publication of electronic version> : \$b <Publisher of electronic version,> \$c <date of publication of the electronic version>.
 538 Mode of access: World Wide Web.
 500 Title from <place where title is recorded if not traditional title page>.
 500 <Description of differences from the original (if appropriate)>.
 520 <Summary or abstract>.
 534 Transcribed from: \$a <Author of original>. \$t <Title of original>. \$c <Place of publication of original : Publisher of original, date of publication of original>. \$e <Pagination of original>.
 600 x0 <Subject added entry, personal name, as verified in Library of Congress Authorities>.
 610 x0 <Subject added entry, corporate name, as verified in Library of Congress Authorities>.
 611 x0 <Subject added entry, meeting name, as verified in Library of Congress Authorities>.
 630 x0 <Subject added entry, uniform title, as verified in Library of Congress Authorities>.
 650 x0 <Subject added entry, topical term, as verified in Library of Congress Authorities>.
 650 x0 <Subject added entry, geographic name, as verified in Library of Congress Authorities>.
 653 <Uncontrolled subject term – use at “more complete” level only>
 710 2 <Your firm's name>.
 7XX <Other appropriate name/title headings>.
 776 <Information about additional physical forms>
 830 <Title of your aggregation>
 856 40 \$u <URL for database (or individual resource)>

7. Partners and Other Ways of Creating Records

Vendors are strongly encouraged to partner with an experienced catalog librarian to create record specifications for monographs/books in an aggregation, or to assist in mapping metadata to MARC. Vendors that do not choose to partner with an experienced cataloger may seek advice from the Program for Cooperative Cataloging before creating record sets.